

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

GOPAL MIRANI, Individually and On Behalf of All Others Similarly Situated, Plaintiff, v. GENERAL ELECTRIC COMPANY, JEFFREY R. IMMELT, and JEFFREY S. BORNSTEIN, Defendants.) Case No.)) COMPLAINT FOR VIOLATION OF) THE FEDERAL SECURITIES LAWS)) <u>DEMAND FOR JURY TRIAL</u>))
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CLASS ACTION COMPLAINT

Plaintiff Gopal Mirani (“Plaintiff”), individually and on behalf of all other persons similarly situated, by his undersigned attorneys, for his complaint against Defendants, alleges the following based upon personal knowledge as to himself and his own acts, and information and belief as to all other matters, based upon, *inter alia*, the investigation conducted by and through his attorneys, which included, among other things, a review of the Defendants’ public documents, conference calls and announcements made by Defendants, U.S. Securities and Exchange Commission (“SEC”) filings, wire and press releases published by and regarding General Electric Company (“General Electric” or the “Company”), analysts’ reports and advisories about the Company, and information readily obtainable on the Internet. Plaintiff believes that substantial evidentiary support will exist for the allegations set forth herein after a reasonable opportunity for discovery.

NATURE OF THE ACTION

1. This is a federal securities class action on behalf of a class consisting of all persons other than Defendants who purchased or otherwise acquired General Electric securities

between July 21, 2017, and October 20, 2017, both dates inclusive (the “Class Period”), seeking to recover damages caused by Defendants’ violations of the federal securities laws and to pursue remedies under Sections 10(b) and 20(a) of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rule 10b-5 promulgated thereunder, against the Company and certain of its top officials.

2. General Electric is a globally diversified technology and financial services company. The Company offers a wide variety of products and services including aircraft engines, power generation, water processing and household appliances. General Electric operates along several segments, including: Capital, Healthcare, Aviation, Power, Oil & Gas, Renewable Energy, Energy Collections & Lighting, and Transportation. Throughout the Class Period Defendants allegedly failed to disclose the underperformance of several of the Company’s operating segments.

3. Founded in 1892, General Electric is headquartered in Boston, Massachusetts. The Company’s Securities trade on the New York Stock Exchange (“NYSE”) under the ticker symbol “GE.”

4. Throughout the Class Period, Defendants made materially false and misleading statements regarding the Company’s business, operational and compliance policies. Specifically, Defendants made false and/or misleading statements and/or failed to disclose that: (i) the Company’s various operating segments, including its Power segment, were underperforming Company projections, with order drops, excess inventories and increased costs; (ii) in turn, the Company overstated GE’s full year 2017 guidance; and (iii) as a result of the foregoing, General Electric’s public statements were materially false and misleading at all relevant times.

5. On October 20, 2017, the Company disclosed quarterly results for the third quarter 2017, disclosing earnings per share (“EPS”) of \$0.29, falling below earnings estimates of \$0.49 per share. The Company also lowered 2017 earnings expectations, lowering EPS to \$1.05-\$1.10 from \$1.60-\$1.70.

6. On that same day, October 20, 2017, the Company held a conference call to discuss its financial results. On the call, the Company’s CEO, John J. Flannery, Jr., stated that the Company had been completing a review of its operations and that, “While the company has many areas of strength, it's also clear from our current results that we need to make some major changes with urgency and a depth of purpose. Our results are unacceptable, to say the least.”

7. Following this news, the Company’s stock price fell 6.34%, or \$1.51 per share, to close at \$22.32 on October 23, 2017, on unusually heavy trading volume.

8. As a result of Defendants' wrongful acts and omissions, and the precipitous decline in the market value of the Company's securities, Plaintiff and other Class members have suffered significant losses and damages.

JURISDICTION AND VENUE

9. The claims asserted herein arise under and pursuant to §§ 10(b) and 20(a) of the Exchange Act (15 U.S.C. §§ 78j(b) and 78t(a)) and Rule 10b-5 promulgated thereunder by the SEC (17 C.F.R. § 240.10b-5).

10. This Court has jurisdiction over the subject matter of this action pursuant to 28 U.S.C. §§ 1331 and Section 27 of the Exchange Act, 15 U.S.C. § 78aa.

11. Venue is proper in this District pursuant to § 27 of the Exchange Act and 28 U.S.C. § 1391(b). Substantial acts in furtherance of the alleged fraud or the effects of the fraud have occurred in this Judicial District. Many of the acts charged herein, including the

dissemination of materially false and/or misleading information, occurred in substantial part in this Judicial District. General Electric's stock trades on the NYSE, located within this Judicial District.

12. In connection with the acts, conduct and other wrongs alleged in this Complaint, Defendants, directly or indirectly, used the means and instrumentalities of interstate commerce, including but not limited to, the United States mail, interstate telephone communications and the facilities of the national securities exchange.

PARTIES

13. Plaintiff, as set forth in the attached Certification, acquired General Electric Securities at artificially inflated prices during the Class Period and was damaged upon the revelation of the alleged corrective disclosures.

14. Defendant General Electric is incorporated in New York with principal executive offices located at 41 Farnsworth Street, Boston, Massachusetts 02210. General Electric's securities trade on the NYSE under the ticker symbol "GE."

15. Defendant Jeffrey R. Immelt ("Immelt") served as the Company's Chief Executive Officer ("CEO") from September 2001 to August 1, 2017.

16. Defendant Jeffrey S. Bornstein ("Bornstein") has served at all relevant times as the Company's Chief Financial Officer ("CFO").

17. The Defendants referenced above in ¶¶ 15-16 are sometimes referred to herein as the "Individual Defendants."

18. The Individual Defendants because of their positions with the Company, possessed the power and authority to control the contents of General Electric's reports to the SEC, press releases and presentations to securities analysts, money and portfolio managers and

institutional investors, i.e., the market. The Individual Defendants were provided with copies of the Company's reports and press releases alleged herein to be misleading prior to, or shortly after, their issuance and had the ability and opportunity to prevent their issuance or cause them to be corrected. Because of their positions and access to material non-public information available to them, the Individual Defendants knew that the adverse facts specified herein had not been disclosed to, and were being concealed from, the public, and that the positive representations which were being made were then materially false and/or misleading. The Individual Defendants are liable for the false statements pleaded herein.

SUBSTANTIVE ALLEGATIONS

Background

19. General Electric is a globally diversified technology and financial services company. The Company offers a wide variety of products and services including aircraft engines, power generation, water processing and household appliances. General Electric operates along several segments, including: Capital, Healthcare, Aviation, Power, Oil & Gas, Renewable Energy, Energy Collections & Lighting, and Transportation.

Materially False and Misleading Statements Issued During the Class Period

20. The Class Period begins on July 21, 2017, when General Electric issued a press release, attached as Exhibit 99 on Form 8-K, filed with the SEC, announcing Second Quarter 2017 earnings, including net earnings of \$1.2 billion or \$0.13 per share, on total revenues of \$29.6 billion, and the Company also provided 2017 guidance of \$1.60-\$1.70 per share. In the press release, the Company provided an overview of major transactions by segment:

INDUSTRIAL DEAL HIGHLIGHTS

POWER:

- 9 HA gas turbine orders in 2Q with 33 units in backlog
- Won largest Power Services agreement in history - more than \$3 billion - to support a large volume of power in Algeria with Sonelgaz, including 68 Advanced Gas Path upgrades (AGPs)
- Won \$200+ million fast power and digital services contracts to supply power for up to 15% of the population of Angola

RENEWABLE ENERGY:

- Won contract to supply Invenergy's 300MW wind farm in Texas with 120 GE2.5-116 turbines
- First large-scale pilot of Digital Hydro Plant with Fortum in Sweden

OIL & GAS:

- Combined Baker Hughes and GE Oil & Gas to create BHGE in 3Q; world's first fullstream oil and gas company
- Deal for subsea production systems, equipment, and service for Mozambique offshore development project, making us the first subsea supplier in Mozambique and East Africa

HEALTHCARE:

- Announced 10-year collaboration with Partners Healthcare to develop Artificial Intelligence medical platforms and solutions
- Signed agreement with Humber River Hospital in Canada to install a digital Command Center, using predictive analytics to target improved clinical, operational and financial outcomes
- Announced deal to install India's first-ever FlexFactory to expand biologics production in Hyderabad, India

TRANSPORTATION:

- Signed letter of intent with Ministry of Transportation and Egyptian National Railways worth \$575 million for locomotives and 15-year agreement for parts and technical support

ENERGY CONNECTIONS:

- Introduced world's first battery-gas turbine hybrid system with Southern California Edison
- India's first-ever LVS solar inverter solution deployment with 25-year long-term service agreement; largest executed order to date in the country

AVIATION:

- Announced more than \$31 billion* in orders and commitments at the Paris Air Show
- Signed \$3 billion long-term CFM LEAP-1B engine** support agreement with VietJet Air
- Awarded \$1 billion contract from U.S. Army for 2,500 T700 engines

GLOBAL GROWTH:

- Signed \$15 billion of MoUs and agreements for industrial project development and capacity building in Saudi Arabia

CURRENT, POWERED BY GE:

- Announced second phase of JPMorgan Chase collaboration to reduce their global energy consumption by 15% across 4,500 branches
- Signed UK's largest LED deal with Sainsbury's to switch to 100% LED lighting in its stores

DIGITAL:

- Signed Predix digital solutions agreement with Saudi Ministry of Health to enable digital hospitals
- IDC MarketScape recognized GE Digital as a leader in IoT solutions in its IDC MarketScape: IoT Platform 2017 Vendor Assessment

21. On July 28, 2017, the Company filed a quarterly report on Form 10-Q with the SEC, announcing the Company's financial and operating results for the quarter ended June 30, 2017 (the "Q2 2017 10-Q"), reiterating the results previously disclosed in the July 21, 2017 press release referenced above.

22. The Q2 2017 10-Q contained signed certifications pursuant to the Sarbanes-Oxley Act of 2002 ("SOX") by Defendants Immelt and Bornstein, stating that the financial information contained in the Q2 2017 10-Q was accurate and disclosed any material changes to the Company's internal control over financial reporting.

23. The statements referenced in ¶¶ 20-22 were materially false and misleading because Defendants made false and/or misleading statements, as well as failed to disclose material adverse facts about the Company's business, operational and compliance policies. Specifically, Defendants made false and/or misleading statements and/or failed to disclose that:

- (i) the Company's various operating segments, including its Power segment, were underperforming Company projections, with order drops, excess inventories and increased costs;
- (ii) in turn, the Company overstated GE's full year 2017 guidance; and (iii) as a result of the foregoing, General Electric's public statements were materially false and misleading at all relevant times.

The Truth Begins to Emerge

24. On October 20, 2017, the Company disclosed quarterly results for the third quarter 2017, disclosing earnings per share ("EPS") of \$0.29, falling below earnings estimates of \$0.49 per share. The Company also lowered 2017 earnings expectations, lowering EPS to \$1.05-\$1.10 from \$1.60-\$1.70.

25. On that same day, October 20, 2017, the Company held a conference call to discuss its financial results. On the call, GE's CEO, John J. Flannery, Jr., stated that the Company had been completing a review of its operations and that, "While the company has many areas of strength, it's also clear from our current results that we need to make some major changes with urgency and a depth of purpose. Our results are unacceptable, to say the least."

26. Following this news, the Company's stock price fell 6.34%, or \$1.51 per share, to close at \$1.51 on October 23, 2017, on unusually heavy trading volume.

27. As a result of Defendants' wrongful acts and omissions, and the precipitous decline in the market value of the Company's securities, Plaintiff and other Class members have suffered significant losses and damages.

PLAINTIFF'S CLASS ACTION ALLEGATIONS

28. Plaintiff brings this action as a class action pursuant to Federal Rule of Civil Procedure 23(a) and (b)(3) on behalf of a Class, consisting of all those who purchased or otherwise acquired General Electric Securities during the Class Period (the "Class"), and were damaged upon the revelation of the alleged corrective disclosures. Excluded from the Class are Defendants herein, the officers and directors of the Company, at all relevant times, members of their immediate families and their legal representatives, heirs, successors or assigns and any entity in which Defendants have or had a controlling interest.

29. The members of the Class are so numerous that joinder of all members is impracticable. Throughout the Class Period, General Electric Securities were actively traded on the NYSE. While the exact number of Class members is unknown to Plaintiff at this time and can be ascertained only through appropriate discovery, Plaintiff believes that there are hundreds or thousands of members in the proposed Class. Record owners and other members of the Class may be identified from records maintained by General Electric or its transfer agent and may be notified of the pendency of this action by mail, using the form of notice similar to that customarily used in securities class actions.

30. Plaintiff's claims are typical of the claims of the members of the Class as all members of the Class are similarly affected by Defendants' wrongful conduct in violation of federal law that is complained of herein.

31. Plaintiff will fairly and adequately protect the interests of the members of the Class and has retained counsel competent and experienced in class and securities litigation. Plaintiff has no interests antagonistic to or in conflict with those of the Class.

32. Common questions of law and fact exist as to all members of the Class and predominate over any questions solely affecting individual members of the Class. Among the questions of law and fact common to the Class are:

- whether the federal securities laws were violated by Defendants' acts as alleged herein;
- whether statements made by Defendants to the investing public during the Class Period misrepresented material facts about the business, operations and management of General Electric;
- whether the Individual Defendants caused General Electric to issue false and misleading financial statements during the Class Period;
- whether Defendants acted knowingly or recklessly in issuing false and misleading financial statements;
- whether the prices of General Electric Securities during the Class Period were artificially inflated because of the Defendants' conduct complained of herein; and
- whether the members of the Class have sustained damages and, if so, what is the proper measure of damages.

33. A class action is superior to all other available methods for the fair and efficient adjudication of this controversy since joinder of all members is impracticable. Furthermore, as the damages suffered by individual Class members may be relatively small, the expense and burden of individual litigation make it impossible for members of the Class to individually redress the wrongs done to them. There will be no difficulty in the management of this action as a class action.

34. Plaintiff will rely, in part, upon the presumption of reliance established by the fraud-on-the-market doctrine in that:

- Defendants made public misrepresentations or failed to disclose material facts during the Class Period;
- the omissions and misrepresentations were material;
- General Electric Securities are traded in an efficient market;
- the Company's Securities were liquid and traded with moderate to heavy volume during the Class Period;
- the Company traded on the NYSE and was covered by multiple analysts;
- the misrepresentations and omissions alleged would tend to induce a reasonable investor to misjudge the value of the Company's Securities; and
- Plaintiff and members of the Class purchased, acquired and/or sold General Electric Securities between the time the Defendants failed to disclose or misrepresented material facts and the time the true facts were disclosed, without knowledge of the omitted or misrepresented facts.

35. Based upon the foregoing, Plaintiff and the members of the Class are entitled to a presumption of reliance upon the integrity of the market.

36. Alternatively, Plaintiff and the members of the Class are entitled to the presumption of reliance established by the Supreme Court in *Affiliated Ute Citizens of the State of Utah v. United States*, 406 U.S. 128, 92 S. Ct. 2430 (1972), as Defendants omitted material information in their Class Period statements in violation of a duty to disclose such information, as detailed above.

COUNT I

(Violations of Section 10(b) of the Exchange Act and Rule 10b-5 Promulgated Thereunder Against All Defendants)

37. Plaintiff repeats and realleges each and every allegation contained above as if fully set forth herein.

38. This Count is asserted against Defendants and is based upon Section 10(b) of the Exchange Act, 15 U.S.C. § 78j(b), and Rule 10b-5 promulgated thereunder by the SEC.

39. During the Class Period, Defendants engaged in a plan, scheme, conspiracy and course of conduct, pursuant to which they knowingly or recklessly engaged in acts, transactions, practices and courses of business which operated as a fraud and deceit upon Plaintiff and the other members of the Class; made various untrue statements of material facts and omitted to state material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; and employed devices, schemes and artifices to defraud in connection with the purchase and sale of securities. Such scheme was intended to, and, throughout the Class Period, did: (i) deceive the investing public, including Plaintiff and other Class members, as alleged herein; (ii) artificially inflate and maintain the market price of General Electric Securities; and (iii) cause Plaintiff and other members of the Class to purchase or otherwise acquire General Electric securities at artificially inflated prices. In furtherance of this unlawful scheme, plan and course of conduct, Defendants, and each of them, took the actions set forth herein.

40. Pursuant to the above plan, scheme, conspiracy and course of conduct, each of the Defendants participated directly or indirectly in the preparation and/or issuance of the quarterly and annual reports, SEC filings, press releases and other statements and documents described above, including statements made to securities analysts and the media that were designed to influence the market for General Electric securities. Such reports, filings, releases and statements were materially false and misleading in that they failed to disclose material adverse information and misrepresented the truth about General Electric's finances and business prospects.

41. By virtue of their positions at General Electric, Defendants had actual knowledge of the materially false and misleading statements and material omissions alleged herein and intended thereby to deceive Plaintiff and the other members of the Class, or, in the alternative, Defendants acted with reckless disregard for the truth in that they failed or refused to ascertain and disclose such facts as would reveal the materially false and misleading nature of the statements made, although such facts were readily available to Defendants. Said acts and omissions of Defendants were committed willfully or with reckless disregard for the truth. In addition, each Defendant knew or recklessly disregarded that material facts were being misrepresented or omitted as described above.

42. Information showing that Defendants acted knowingly or with reckless disregard for the truth is peculiarly within Defendants' knowledge and control. As the senior managers and/or directors of General Electric, the Individual Defendants had knowledge of the details of General Electric's internal affairs.

43. The Individual Defendants are liable both directly and indirectly for the wrongs complained of herein. Because of their positions of control and authority, the Individual Defendants were able to and did, directly or indirectly, control the content of the statements of General Electric. As officers and/or directors of a publicly-held company, the Individual Defendants had a duty to disseminate timely, accurate, and truthful information with respect to General Electric's businesses, operations, future financial condition and future prospects. As a result of the dissemination of the aforementioned false and misleading reports, releases and public statements, the market price of General Electric securities was artificially inflated throughout the Class Period. In ignorance of the adverse facts concerning General Electric's business and financial condition which were concealed by Defendants, Plaintiff and the other

members of the Class purchased or otherwise acquired General Electric Securities at artificially inflated prices and relied upon the price of the securities, the integrity of the market for the securities and/or upon statements disseminated by Defendants, and were damaged thereby.

44. During the Class Period, General Electric Securities were traded on an active and efficient market. Plaintiff and the other members of the Class, relying on the materially false and misleading statements described herein, which the Defendants made, issued or caused to be disseminated, or relying upon the integrity of the market, purchased or otherwise acquired General Electric Securities at prices artificially inflated by Defendants' wrongful conduct. Had Plaintiff and the other members of the Class known the truth, they would not have purchased or otherwise acquired said securities, or would not have purchased or otherwise acquired them at the inflated prices that were paid. At the time of the purchases and/or acquisitions by Plaintiff and the Class, the true value of General Electric Securities was substantially lower than the prices paid by Plaintiff and the other members of the Class. The market price of General Electric Securities declined sharply upon public disclosure of the facts alleged herein to the injury of Plaintiff and Class members.

45. By reason of the conduct alleged herein, Defendants knowingly or recklessly, directly or indirectly, have violated Section 10(b) of the Exchange Act and Rule 10b-5 promulgated thereunder.

46. As a direct and proximate result of Defendants' wrongful conduct, Plaintiff and the other members of the Class suffered damages in connection with their respective purchases, acquisitions and sales of the Company's Securities during the Class Period, upon the disclosure that the Company had been disseminating misrepresented financial statements to the investing public.

COUNT II

(Violations of Section 20(a) of the Exchange Act Against The Individual Defendants)

47. Plaintiff repeats and realleges each and every allegation contained in the foregoing paragraphs as if fully set forth herein.

48. During the Class Period, the Individual Defendants participated in the operation and management of General Electric, and conducted and participated, directly and indirectly, in the conduct of General Electric's business affairs. Because of their senior positions, they knew the adverse non-public information about General Electric's misstatement of income and expenses and false financial statements.

49. As officers and/or directors of a publicly owned company, the Individual Defendants had a duty to disseminate accurate and truthful information with respect to General Electric's financial condition and results of operations, and to correct promptly any public statements issued by General Electric which had become materially false or misleading.

50. Because of their positions of control and authority as senior officers, the Individual Defendants were able to, and did, control the contents of the various reports, press releases and public filings which General Electric disseminated in the marketplace during the Class Period concerning General Electric's results of operations. Throughout the Class Period, the Individual Defendants exercised their power and authority to cause General Electric to engage in the wrongful acts complained of herein. The Individual Defendants therefore, were "controlling persons" of General Electric within the meaning of Section 20(a) of the Exchange Act. In this capacity, they participated in the unlawful conduct alleged which artificially inflated the market price of General Electric securities.

51. Each of the Individual Defendants, therefore, acted as a controlling person of General Electric. By reason of their senior management positions and/or being directors of

General Electric, each of the Individual Defendants had the power to direct the actions of, and exercised the same to cause, General Electric to engage in the unlawful acts and conduct complained of herein. Each of the Individual Defendants exercised control over the general operations of General Electric and possessed the power to control the specific activities which comprise the primary violations about which Plaintiff and the other members of the Class complain.

52. By reason of the above conduct, the Individual Defendants are liable pursuant to Section 20(a) of the Exchange Act for the violations committed by General Electric.

PRAYER FOR RELIEF

WHEREFORE, Plaintiff demands judgment against Defendants as follows:

- A. Determining that the instant action may be maintained as a class action under Rule 23 of the Federal Rules of Civil Procedure, and certifying Plaintiff as the Class representative;
- B. Requiring Defendants to pay damages sustained by Plaintiff and the Class by reason of the acts and transactions alleged herein;
- C. Awarding Plaintiff and the other members of the Class prejudgment and post-judgment interest, as well as their reasonable attorneys' fees, expert fees and other costs; and
- D. Awarding such other and further relief as this Court may deem just and proper.

DEMAND FOR TRIAL BY JURY

Plaintiff hereby demands a trial by jury.

Dated: November 2, 2017

Respectfully submitted,

POMERANTZ LLP

/s/ Jeremy A. Lieberman

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Submission Date

2017-11-02 09:26:12

CERTIFICATION PURSUANT TO FEDERAL SECURITIES LAWS

1. I make this declaration pursuant to Section 27(a)(2) of the Securities Act of 1933 ("Securities Act") and/or Section 21D(a)(2) of the Securities Exchange Act of 1934 ("Exchange Act") as amended by the Private Securities Litigation Reform Act of 1995.
2. I have reviewed a Complaint against General Electric Company, ("General Electric" or the "Company") and, authorize the filing of a comparable complaint on my behalf.
3. I did not purchase or acquire General Electric securities at the direction of plaintiffs' counsel or in order to participate in any private action arising under the Securities Act or Exchange Act.
4. I am willing to serve as a representative party on behalf of a Class of investors who purchased or acquired General Electric securities during the class period, including providing testimony at deposition and trial, if necessary. I understand that the Court has the authority to select the most adequate lead plaintiff in this action.
5. To the best of my current knowledge, the attached sheet lists all of my transactions in General Electric securities during the Class Period as specified in the Complaint.
6. During the three-year period preceding the date on which this Certification is signed, I have not sought to serve as a representative party on behalf of a class under the federal securities laws.
7. I agree not to accept any payment for serving as a representative party on behalf of the class as set forth in the Complaint, beyond my pro rata share of any recovery, except such reasonable costs and expenses directly relating to the representation of the class as ordered or approved by the Court.
8. I declare under penalty of perjury that the foregoing is true and correct.

Name

Print Name

Gopal Mirani

Acquisitions

Configurable list (if none enter none)

Date Acquired	Number of Shares Acquired	Price per Share Acquired
09/07/2017	561	24.11

Sales

Documents & Message

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GENERAL ELECTRIC COMPANY (GE)**Mirani, Gopal****LIST OF PURCHASES AND SALES**

DATE	PURCHASE OR SALE	NUMBER OF SHARES/UNITS	PRICE PER SHARES/UNITS
9/7/2017	Purchase	561	\$24.1100